

CLEARING WORKSTATION 2 USER MANUAL



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1 INTRODUCTION CLEARING WORKSTATION 2

1.1 How to access Clearing Workstation 2

Clearing Workstation 2 is a web based application. Open Internet Explorer and write the given address for access. These are the requirement you need to get started.

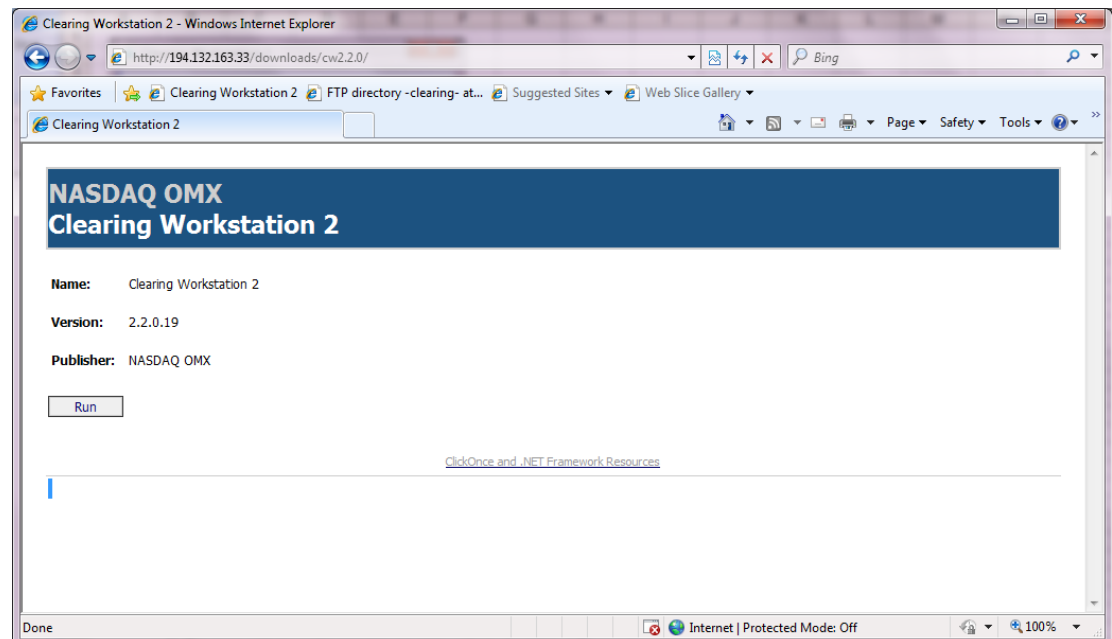
Hardware

- Intel 1.0 GHz processor or faster
- 1Gb of memory
- 500Mb unused disc space
- Minimum screen resolution 1024 x 768

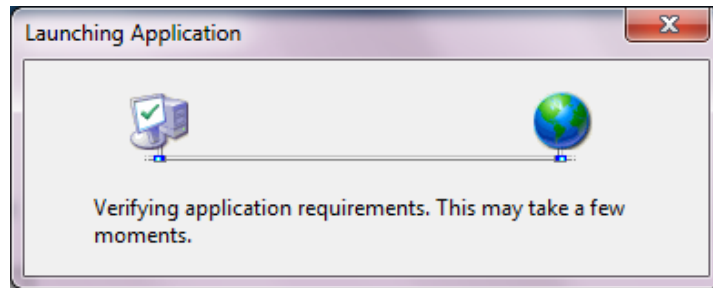
Software

- Microsoft Windows XP (service pack 2)
- Microsoft Windows Vista
- Microsoft Windows 7
- Microsoft .NET Framework 4

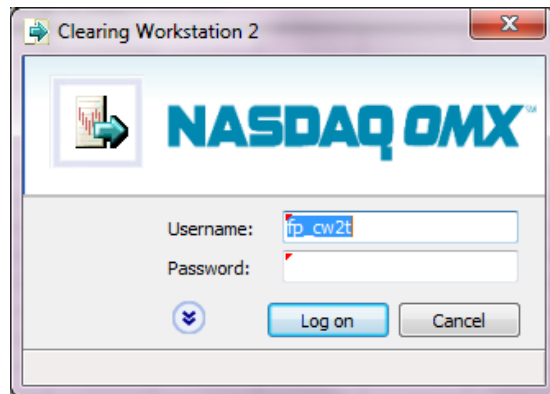
The minimum hardware and software requirements for any future version or release of the Software may be different from the minimum requirements for the current version or release.



Press the Run button and the following window will open. The CW2 application will be downloaded to your computer.



Enter valid Username and Password and Log on.



A Security Warning will appear, press continue to accept and open the Clearing Workstation 2.



When it is accepted and installed you will see the Clearing Workstation 2 grid.



1.2 User types in Clearing Workstation 2

There are different versions and user types of the Clearing Workstation 2:

- Broker User
- Full User
- Read only User
- Administration User

1.2.1 Broker/Trader User

The Broker User version is designed for trading desk Brokers/Traders and has the following setup:

- Reporting of trades
- Give-up functionality
- Trade history
- Account position

1.2.2 Full User

The Full User version is designed for Back Office personnel and has the following setup:

- Account
- Account position
- Reporting of trades
- Give-up functionality
- Trade history
- Exercise request/Pending Exercise
- Clearing information
- Margin Simulation
- Fixing values
- Transfer of trades
- Reports

1.2.3 Read only User

The Read User version is designed for local branch offices and Institutional investors:

- Account
- Account position
- Trade history
- Pending Exercise
- Clearing information
- Margin Simulation
- Fixing values
- Reports

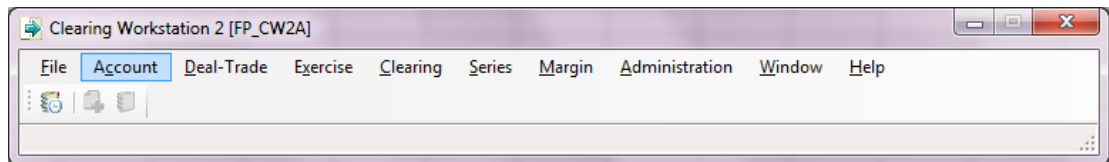
1.2.4 Administration User

The Administration User version is designed for administrate user accounts:

- Account
- Account position
- Trade history
- Pending Exercise
- Clearing information
- Margin Simulation
- Fixing values
- Reports
- Administration tools

2 CLEARING WORKSTATION 2 FUNCTIONS

2.1 Account



Under the menu Accounts you will find two different options;

- Accounts
- Positions

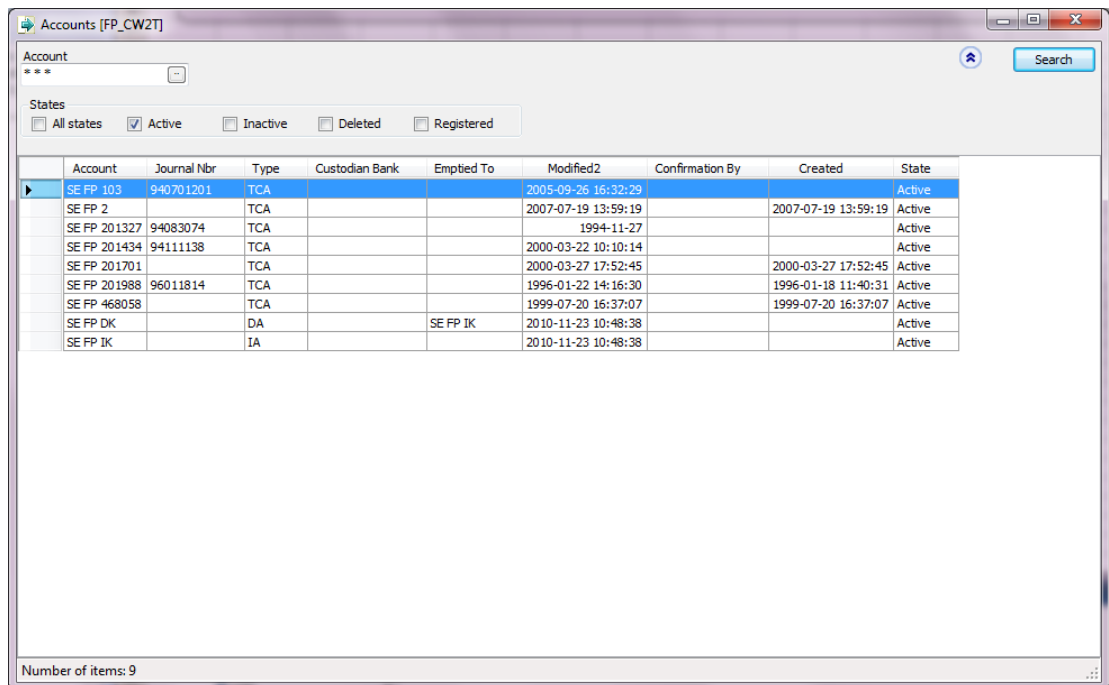
2.1.1 Accounts

Account: Enter account information. Asterisks can be used as wildcards.

States: Choose type of state for account to be displayed.

Press search.

The result of the search will be displayed in the window.



2.1.2 Positions

Positions will provide an overview of the account's positions.

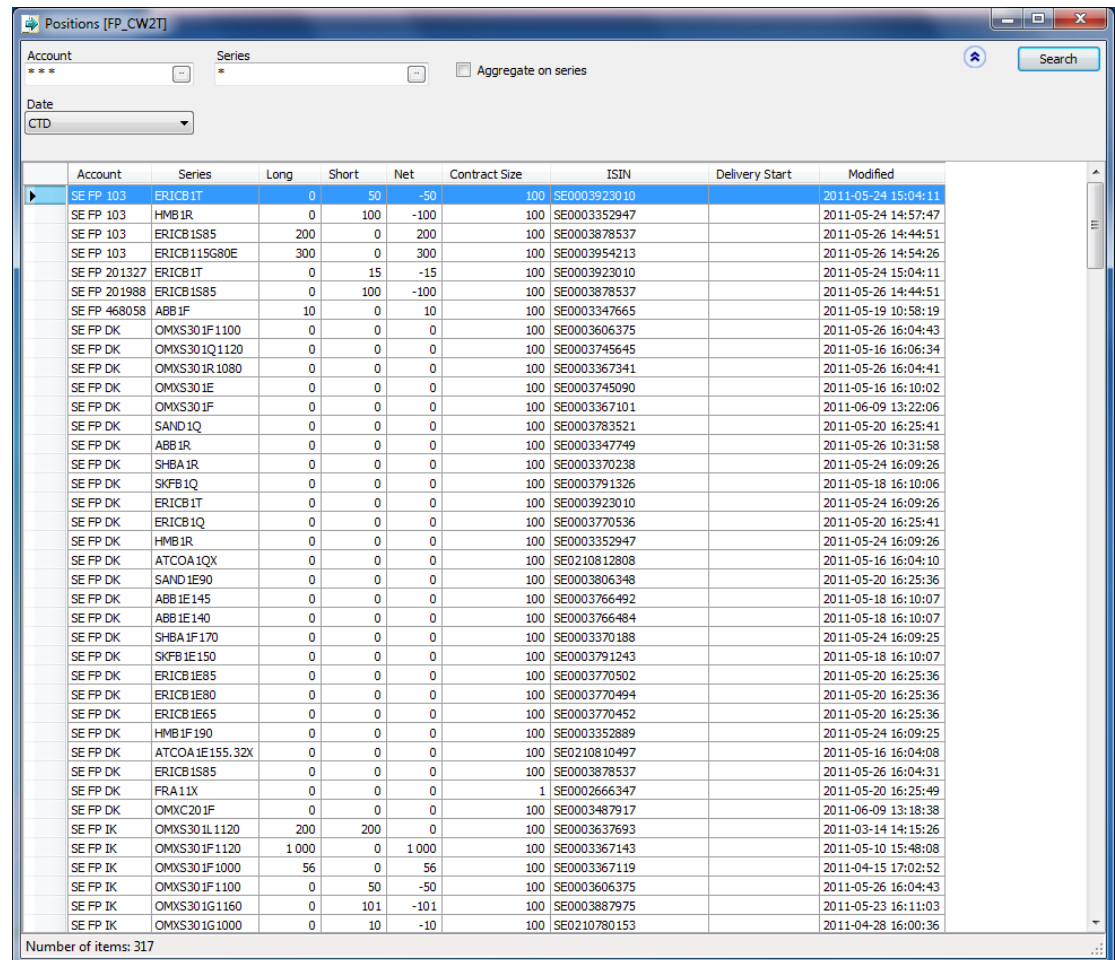
Account: Enter account information. Asterisks can be used as wildcards. Press search.

Series: Enter the series. Leave * for all series on the specified account.

Aggregate on series: Check this box for listing of one position item per series.

Click Search.

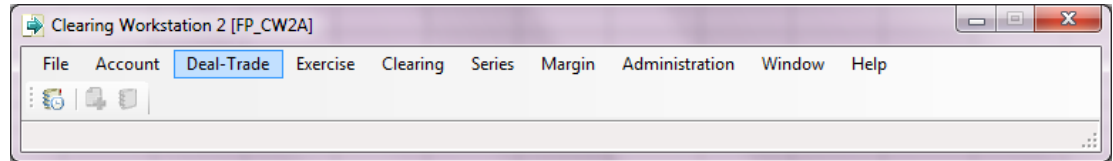
The result of the search will be displayed in the window.



	Account	Series	Long	Short	Net	Contract Size	ISIN	Delivery Start	Modified
▶	SE FP 103	ERICB 1T	0	50	-50	100	SE0003923010		2011-05-24 15:04:11
	SE FP 103	HMB 1R	0	100	-100	100	SE0003352947		2011-05-24 14:57:47
	SE FP 103	ERICB 1S85	200	0	200	100	SE0003878537		2011-05-26 14:44:51
	SE FP 103	ERICB 115G80E	300	0	300	100	SE0003954213		2011-05-26 14:54:26
	SE FP 201327	ERICB 1T	0	15	-15	100	SE0003923010		2011-05-24 15:04:11
	SE FP 201988	ERICB 1S85	0	100	-100	100	SE0003878537		2011-05-26 14:44:51
	SE FP 468058	ABB 1F	10	0	10	100	SE0003347665		2011-05-19 10:58:19
	SE FP DK	OMXS30 1F1100	0	0	0	100	SE0003606375		2011-05-26 16:04:43
	SE FP DK	OMXS30 1Q1120	0	0	0	100	SE0003745645		2011-05-16 16:06:34
	SE FP DK	OMXS30 1R1080	0	0	0	100	SE0003367341		2011-05-26 16:04:41
	SE FP DK	OMXS30 1E	0	0	0	100	SE0003745090		2011-05-16 16:10:02
	SE FP DK	OMXS30 1F	0	0	0	100	SE0003367101		2011-06-09 13:22:06
	SE FP DK	SAND 1Q	0	0	0	100	SE0003783521		2011-05-20 16:25:41
	SE FP DK	ABB 1R	0	0	0	100	SE0003347749		2011-05-26 10:31:58
	SE FP DK	SHBA 1R	0	0	0	100	SE0003370238		2011-05-24 16:09:26
	SE FP DK	SKFB 1Q	0	0	0	100	SE0003791326		2011-05-18 16:10:06
	SE FP DK	ERICB 1T	0	0	0	100	SE0003923010		2011-05-24 16:09:26
	SE FP DK	ERICB 1Q	0	0	0	100	SE0003770536		2011-05-20 16:25:41
	SE FP DK	HMB 1R	0	0	0	100	SE0003352947		2011-05-24 16:09:26
	SE FP DK	ATCOA 1QX	0	0	0	100	SE0210812808		2011-05-16 16:04:10
	SE FP DK	SAND 1E90	0	0	0	100	SE0003806348		2011-05-20 16:25:36
	SE FP DK	ABB 1E145	0	0	0	100	SE0003766492		2011-05-18 16:10:07
	SE FP DK	ABB 1E140	0	0	0	100	SE0003766484		2011-05-18 16:10:07
	SE FP DK	SHBA 1F170	0	0	0	100	SE0003370188		2011-05-24 16:09:25
	SE FP DK	SKFB 1E150	0	0	0	100	SE0003791243		2011-05-18 16:10:07
	SE FP DK	ERICB 1E85	0	0	0	100	SE0003770502		2011-05-20 16:25:36
	SE FP DK	ERICB 1E80	0	0	0	100	SE0003770494		2011-05-20 16:25:36
	SE FP DK	ERICB 1E65	0	0	0	100	SE0003770452		2011-05-20 16:25:36
	SE FP DK	HMB 1F190	0	0	0	100	SE0003352889		2011-05-24 16:09:25
	SE FP DK	ATCOA 1E155.32X	0	0	0	100	SE0210810497		2011-05-16 16:04:08
	SE FP DK	ERICB 1S85	0	0	0	100	SE0003878537		2011-05-26 16:04:31
	SE FP DK	FRA 11X	0	0	0	1	SE0002666347		2011-05-20 16:25:49
	SE FP DK	OMXC20 1F	0	0	0	100	SE0003487917		2011-06-09 13:18:38
	SE FP IK	OMXS30 1L1120	200	200	0	100	SE0003637693		2011-03-14 14:15:26
	SE FP IK	OMXS30 1F1120	1 000	0	1 000	100	SE0003367143		2011-05-10 15:48:08
	SE FP IK	OMXS30 1F1000	56	0	56	100	SE0003367119		2011-04-15 17:02:52
	SE FP IK	OMXS30 1F1100	0	50	-50	100	SE0003606375		2011-05-26 16:04:43
	SE FP IK	OMXS30 1G1160	0	101	-101	100	SE0003887975		2011-05-23 16:11:03
	SE FP IK	OMXS30 1G1000	0	10	-10	100	SE0210780153		2011-04-28 16:00:36

Number of items: 317

2.2 Deal-Trade



Under the menu Deal-Trade you will find these different options;

- Trades
- Holding DC Trades
- Trade Reporting
- Holding Deal
- Holding Give up
- Holding Rectify Trades

2.2.1 Trades

Trades will provide the trade history of the account.

Account: Enter account information. Asterisks can be used as wildcards. Press search.

Series: Enter the series. Leave * for all series for the specified account.

From Date and To Date: Choose From Date and To Date.

Low price and High price: Choose price interval.

Type: Choose which types of trades displayed.

Click Search

The result of the search will be displayed in the window.

Account	User	Series	Created	Quantity Left	Quantity	B/S	Effect	Trade Nbr	Price	O/C/N/D	Modified
SE FP DK	SE FP XXXXX	OMXC201F	2011-06-09 12:57:56	0	20	Sell	Open	523	438,00	Default	2011-06-09 13:17:34
SE FP DK	SE FP XXXXX	OMXC201F	2011-06-09 12:57:56	0	20	Buy	Open	524	438,00	Default	2011-06-09 13:18:38
SE FP DK	SE FP XXXXX	OMXC201F	2011-06-09 13:17:34	20	20	Buy	Closed	526	438,00	Net	2011-06-09 13:17:34
SE FP DK	SE FP XXXXX	OMXC201F	2011-06-09 13:18:38	20	20	Sell	Closed	528	438,00	Net	2011-06-09 13:18:38
SE FP DK	SE FP XXXXX	OMXS301F	2011-06-09 12:57:15	0	30	Sell	Open	3891	1 101,00	Default	2011-06-09 13:22:05
SE FP DK	SE FP XXXXX	OMXS301F	2011-06-09 12:57:15	0	30	Buy	Open	3892	1 101,00	Default	2011-06-09 13:22:06
SE FP DK	SE FP XXXXX	OMXS301F	2011-06-09 13:22:05	30	30	Buy	Closed	3902	1 101,00	Net	2011-06-09 13:22:05
SE FP DK	SE FP XXXXX	OMXS301F	2011-06-09 13:22:06	30	30	Sell	Closed	3904	1 101,00	Net	2011-06-09 13:22:06

Number of items: 8

From the Trades Window you can choose to make a Give Up or a Rectify Trade by select the Buy or Sell side you want to give up or rectify.

Select Participant ID to whom you wish to give up or rectify the trade to and specify the quantity.

Give Up Trades [FP_CW2W]

	Account	Series	B/S	Quantity	Quantity Left	Price	Effect	Trade Nbr
▶	SE FP IK	VOLVB129FC	Buy	100	100	106,00	Open	5

	Account	Free Text	Quantity
▶	SE MPK		100

Participant/ Account
SE MPK

Quantity
100

Free text

Split

OK

Rectify Trade [FP_CW2W]

	Account	Series	B/S	Quantity	Quantity Left	Price	Effect	Trade Nbr
▶	SE FP IK	DNBNON129F	Buy	100	100	76,00	Open	5

	Account	Quantity	O/C/N/D	Free Text
▶	SE FP 103	100	Default	

Account:
SE FP 103

Quantity:
100

O/C/N/D
Default

Free text:

Split

OK

2.2.2 Report Trade

In this window you can report standardized and OTC/TM trades. Standardized you find under Series and OTC/TM you enter under “Create Series...”.

All boxes marked with a red flag are mandatory.

The screenshot shows a window titled "Trade Reporting [FP_CW2T]". It contains several sections with input fields and buttons:

- Series**
 - Series: [Text field with a red flag]
 - Currency: [Text field]
 - Create Series...: [Button]
- Common**
 - Price: [Text field with a red flag]
 - Quantity: [Text field with a red flag]
 - Side: [Dropdown menu, currently set to "Both"]
 - Type: [Dropdown menu]
 - Time of Agreement: [Text field with a calendar icon, showing "2011-06-10 00:00:00"]
- Buyer**
 - Participant/ Account: [Text field with a red flag]
 - Update method: [Dropdown menu, currently set to "Default"]
 - Free Text: [Text field]
- Seller**
 - Participant/ Account: [Text field with a red flag]
 - Update method: [Dropdown menu, currently set to "Default"]
 - Free Text: [Text field]

A "Send" button is located at the bottom right of the window.

2.2.3 Holding Deal

In this window you can monitor your holding deals

Holding Deal Capture Trades [FP_CW2W]

Account

Series
*

From Date
2011-07-05 00:00:00

To Date
2011-07-06 00:00:00

☒ Holding ☐ Rejected

Search

Account	Series	B/S	Quantity	Price	O/C/N/D	Created	User	Confirmed By
---------	--------	-----	----------	-------	---------	---------	------	--------------

2.2.4 Holding Give up

In this window you can monitor your give ups.

Holding Give Up Trade [FP_CW2B]

Series
*

Participant
**

Date
2011-06-30

Direction
☐ Given Up ☒ Received

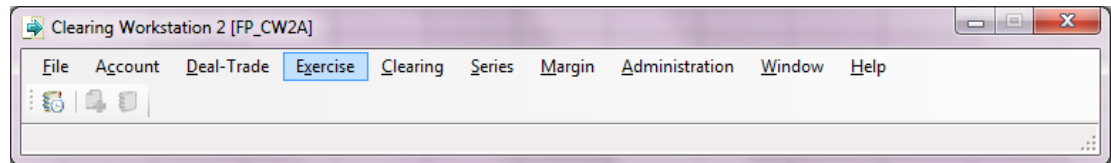
State
☐ Holding ☐ Completed ☐ Rejected

Search

	Account	Series	B/S	Quantity	Price	Free Text	State	As Of	Created	Give Up Nbr	Trade Nbr	Member
▶	SE MPK	OMXS301G	Sel	100	1 080,00		Completed	2011-06-30 10:20:57	2011-06-30 10:21:20	29	9664	SE FP
	SE MPK	OMXS301G	Buy	50	1 082,00		Deleted	2011-06-30 10:46:22	2011-06-30 10:46:45	30	9674	SE FP
	SE MPK	OMXS301G	Buy	50	1 082,00		Deleted	2011-06-30 10:46:22	2011-06-30 10:56:00	31	9674	SE FP

Number of items: 3

2.3 Exercise

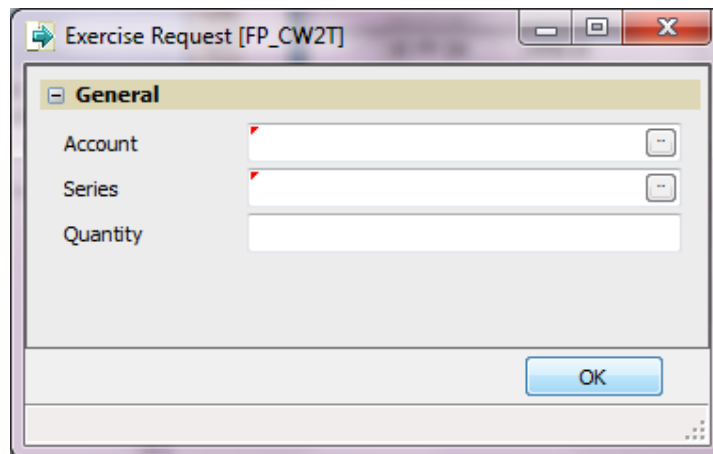


Under the menu Exercise you will find two different options;

- Exercise Request
- Pending Exercise Request

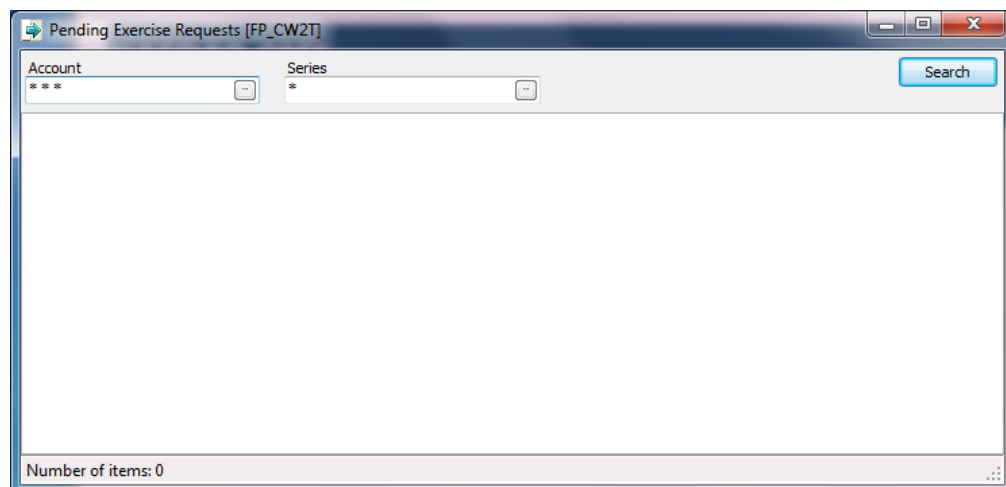
2.3.1 Exercise Request

Enter account and series which you want to exercise. If Quantity is not chosen the whole position will be exercised.

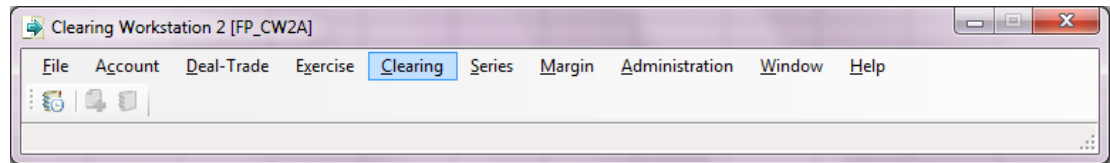


2.3.2 Pending Exercise Requests

Here you can monitor your Pending Exercise Requests.



2.4 Clearing



Under the menu Clearing you will find two different options;

- Clearing Information
- Report File

2.4.1 Clearing Information

Clearing information provides detailed information about the clearing transactions. It will give an overview of the trades, fees and settlement amounts.

Account: Enter account information. Asterisks can be used as wildcards. Press search.

Series: Enter the series. Leave * for all series for the specified account.

Delivery series: Enter underlying for deliveries. Leave * for all.

From Date and To Date: Choose From Date and To Date to narrow down the search.

Tick Settlement Date or Business Date.

The Customize button provides the option of choosing what data that will be displayed in the window. Tick desired Classes and Events. Then press OK.

Account: *** Series: * Settlement Date (selected) Business Date (unselected) Customize... Search

Delivery Series: * From Date: 2011-06-10 To date: 2011-06-10

	Account	Delivery Account	Series	ISIN	Contract Size	Event	Class	Event Qty	Delivery Qty	Delivery Series
▶	SE FP DK	SE FP DK	OMXC201F	SE0003487917	100	Mark-to-market	Settlement	0	0,00	DKK
	SE FP IK	SE FP IK	ABB 1F	SE0003347665	100	Mark-to-market	Settlement	10	3 210,00	SEK
	SE FP 468058	SE FP 468058	ABB 1F	SE0003347665	100	Mark-to-market	Settlement	10	-3 210,00	SEK
	SE FP IK	SE FP IK	SAND 1F	SE0003369065	100	Mark-to-market	Settlement	20	6 620,00	SEK
	SE FP IK	SE FP IK	OMXS301F	SE0003367101	100	Mark-to-market	Settlement	60	-148 500,00	SEK
	SE FP DK	SE FP DK	OMXS301F	SE0003367101	100	Mark-to-market	Settlement	0	0,00	SEK
	SE FP IK	SE FP IK	OMXS301G	SE0003887884	100	Mark-to-market	Settlement	0	0,00	SEK

Total Event Qty: 100,000000 Total Delivery Qty: 141880,000000-

Number of items: 7

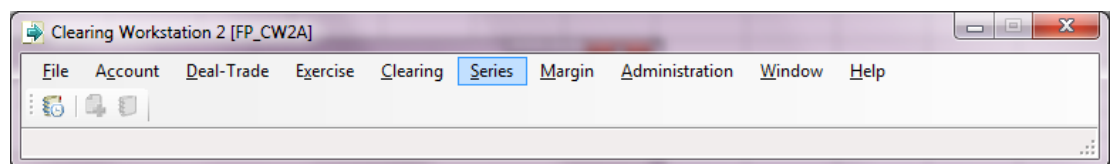
2.4.2 Report File

Here you will find following reports on account level in both Excel and PDF format:

- Exercise and Closing
- Forward Closing Mark to Market Fixed Income
- Forward Monthly Mark to Market Fixed Income
- Future Mark to Market
- Margin Requirements
- Trades

(For information on how to configure the reports please see section 2.7.3, Report Setup)

2.5 Series



2.5.1 Fixing Values

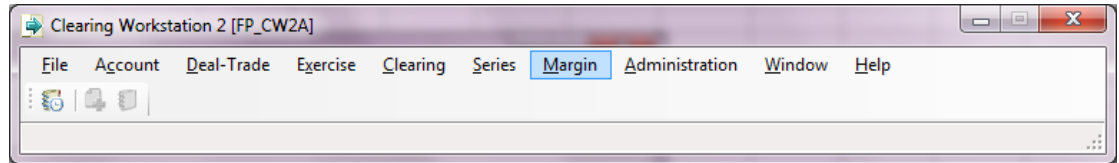
Fixing Values will provide information about fixing values of series.

Series: enter series or wild card.

For Date: enter date

The result of the search will be displayed in the window.

2.6 Margin



2.6.1 Simulate Margin

This function is used to simulate margin requirements. It is possible to calculate margin requirements for a specific account, with current prices and positions.

Use existing positions: Tick this box for calculation of margin requirement on the current position of the account entered in the "Account"-field.

To add positions, right click by the arrow and add desired positions to recalculate the margin requirement.

Click calculate.

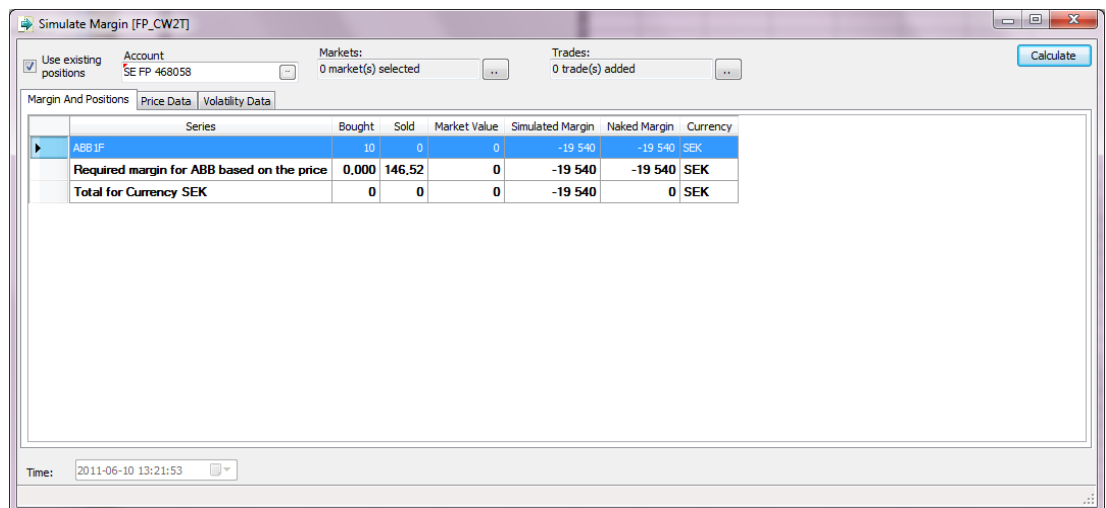
Account: Enter account information. Asterisks can be used as wildcards. Press search.

Markets: Choose markets in the list or leave "All markets", for all.

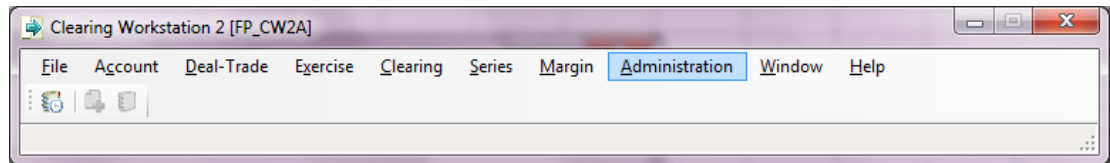
Click on the button and this dialogue will appear:

To add a market, tick the boxes on the left side of the market name. Then press OK.

Click Select all or Select None if you would like to tick all or untick all boxes.



2.7 Administration

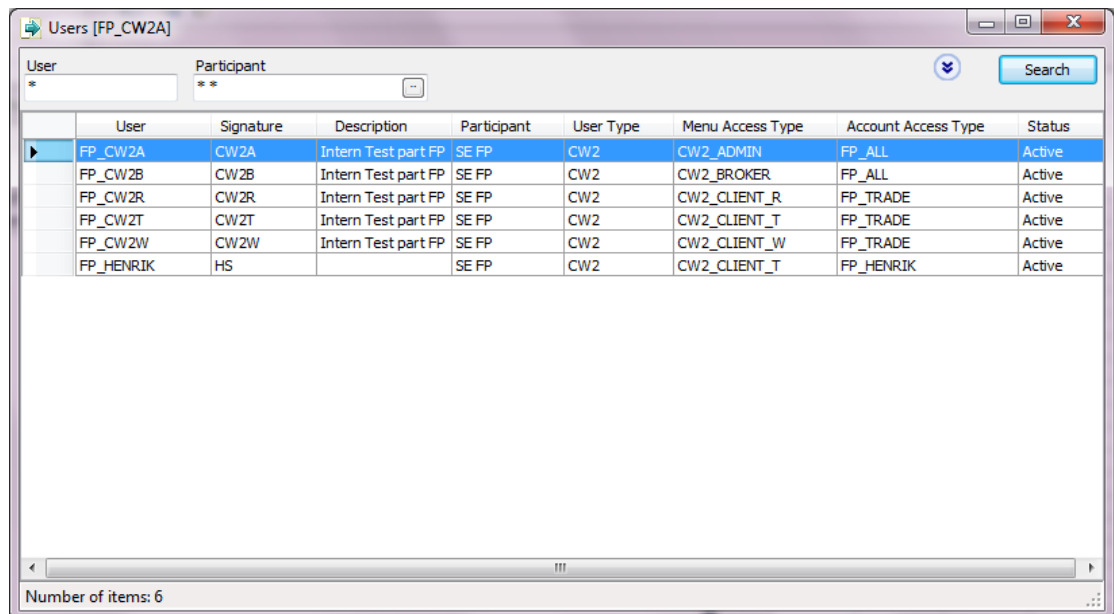


Under the menu Administration you will find seven different options;

- User
- Account Access
- Report Setup
- Connection Information
- Reset Personal Settings
- Open Log file(s)
- Local Caching

2.7.1 Users

In the Users menu you can see all of your current users as well as create a new user or modify a user by right click on the chosen one.



2.7.2 Account Access

Account Access View is an overview over the account access type. Here you set up what accounts the user should be able to see.

The screenshot shows the 'Account Access [FP_CW2A]' window. At the top, there are two search filters: 'Account Access Type:' with a dropdown menu showing '*' and 'Account' with a dropdown menu showing '***'. A 'Search' button is to the right. Below the filters are two empty tables. The first table has columns 'Account Access Type' and 'Description'. The second table has columns 'Account', 'Type', 'Account Text', and 'State'.

To create a new Account Access Type and right click in the upper empty field and a new window will appear.

The screenshot shows the 'Account Access [FP_CW2A]' window with the 'Account Access Type' form expanded. The form has a 'Name' field with the value 'FP_', a 'Description' field, and an 'Account Options' section with a checkbox 'Allow All Accounts' which is unchecked. Below the form is the same empty table with columns 'Account', 'Type', 'Account Text', and 'State'. A 'Create' button is at the bottom right.

Choose a name for the Account Access Type.

Description: Optional field for describing the Account Access Type.

To add accounts to the Account Access Type place the arrow in the "Accounts" field. Right click in that field and choose add and this window will appear:

Account	Journal Nbr	Type	Custodian Bank	Empted To	Modified2	Confirmation By	Created	State	Origin Acct	Fee Type
SE FP 0144	9407013	TCA			2009-10-29 14:39:59			Active	CA	
SE FP 0149	94071937	TCA			1994-11-27			Active	CA	
SE FP 1		TCA			2011-01-24 13:07:43		2007-07-19 13:59:12	Active	CA	
SE FP 100396	940701199	TCA			1994-11-27			Active	CA	
SE FP 100438	940701200	TCA			1994-11-27			Active	CA	
SE FP 1010		TA			2009-10-30 07:43:06		2008-08-21 09:31:57	Active	CA	
SE FP 103	940701201	TCA			2005-09-26 16:32:29			Active	CA	
SE FP 1073	96020514	TCA			1996-02-08 09:45:35		1996-02-02 16:53:33	Active	CA	
SE FP 1081	9506014	TCA			1995-06-06 11:00:54		1995-06-01 14:30:05	Active	CA	
SE FP 10YSWAP		OI			2011-01-04 14:48:12		2011-01-04 14:48:12	Active	OI OMX	
SE FP 10YSWAPA		OI			2011-01-07 13:29:51		2011-01-07 13:29:51	Active	OI OMX	
SE FP 1172	940831134	TCA			1994-11-27			Active	CA	
SE FP 12345		TCA			2008-01-08 17:12:06		2006-01-11 11:45:12	Active	CA	
SE FP 1248	9506015	TCA			2000-03-22 15:44:49		1995-06-01 14:30:32	Active	CA	
SE FP 2		TCA			2007-07-19 13:59:19		2007-07-19 13:59:19	Active	CA	
SE FP 200550	9506016	TCA			1995-06-06 11:01:25		1995-06-01 14:29:53	Active	CA	
SE FP 200568	98020912	TCA			1998-02-10 15:48:52		1998-02-09 09:19:33	Active	CA	
SE FP 200683	94083073	TCA			1994-11-27			Active	CA	
SE FP 200949	94120621	TCA			1994-12-09 09:50:53			Active	CA	
SE FP 201327	94083074	TCA			1994-11-27			Active	CA	
SE FP 201434	94111138	TCA			2000-03-22 10:10:14			Active	CA	
SE FP 201442	94081961	TCA			1994-11-27			Active	CA	
SE FP 201701		TCA			2000-03-27 17:52:45		2000-03-27 17:52:45	Active	CA	
SE FP 201889	94081962	TCA			1994-11-27			Active	CA	
SE FP 201913	94092027	TCA			1994-11-27			Active	CA	
SE FP 201988	96011814	TCA			1996-01-22 14:16:30		1996-01-18 11:40:31	Active	CA	
SE FP 202143	940701207	TCA			1994-11-27			Active	CA	
SE FP 202184	940701209	TCA			1994-11-27			Active	CA	
SE FP 202192	940701210	TCA			2009-10-29 11:15:48			Active	CA	
SE FP 202226	940701211	TCA			1994-11-27			Active	CA	
SE FP 202259	941102124	TCA			2000-03-17 13:45:24			Active	CA	
SE FP 202515	94071955	TCA			1994-11-27			Active	CA	
SE FP 202564	94083075	TCA			1994-11-27			Active	CA	
SE FP 202739	9911298	TCA			2000-03-22 16:18:30		1999-11-26 15:54:26	Active	CA	
SE FP 202754	940701212	TCA			1994-11-27			Active	CA	
SE FP 202911	940701214	TCA			2010-02-15 11:05:42			Active	CA	

In Account search for:

One specific account: Enter full name with spaces between

For all accounts: Just press search

Mark the account (-s) t right click and choose "add".

This/these account (-s) will now be the ones that the user will see.

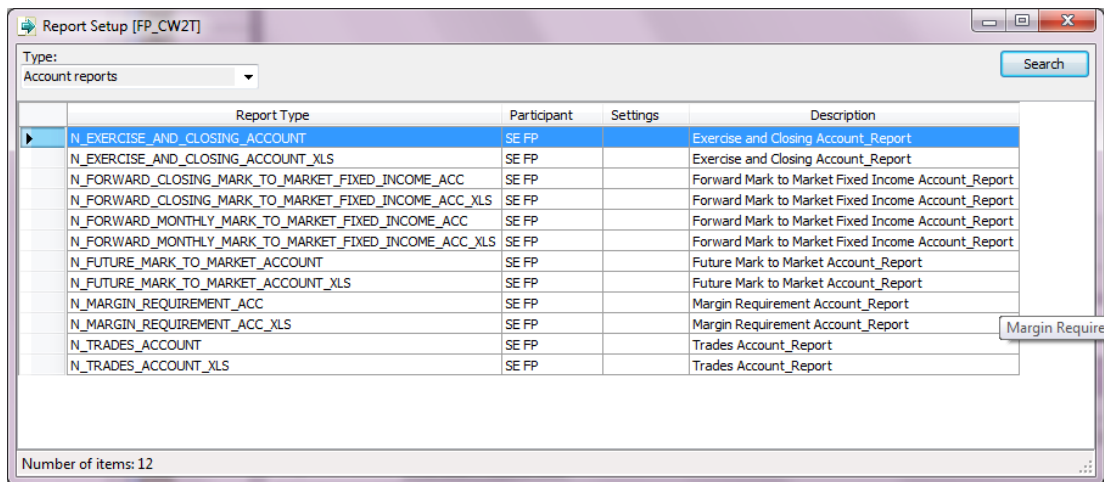
Click Create or Update.

Account Access Type	Description	Allow All
FP_ALL		
FP_HENRIK		
FP_TRADE		

Account	Type	Account Text	State
SE FP 103	TCA		Active
SE FP 2	TCA		Active
SE FP 201327	TCA		Active
SE FP 201434	TCA		Active
SE FP 201701	TCA		Active
SE FP 201988	TCA		Active
SE FP 468058	TCA		Active
SE FP DK	DA		Active
SE FP IK	IA		Active

2.7.3 Report Setup

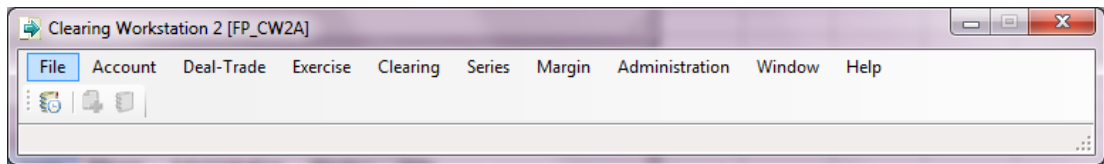
In this window you will find all available reports.



You will have to add an Account Access Type to the report in order for the user to receive the report under Clearing, Report File.

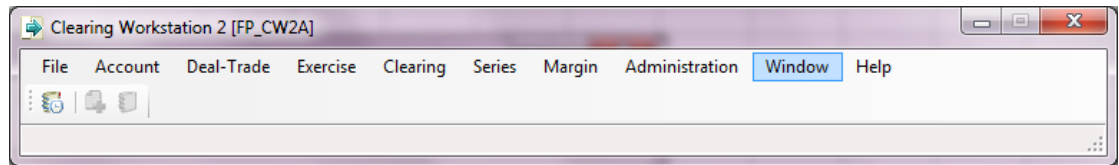
Mark a report and right click, press Modify and choose one or more Account Access Types.

2.8 File



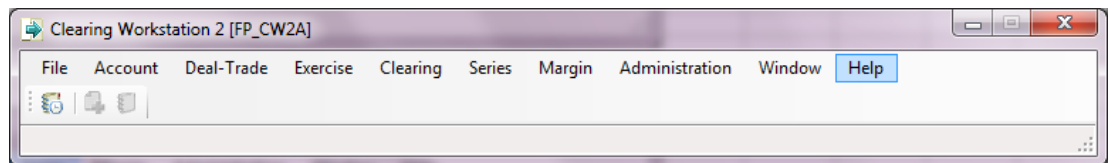
Under the menu File you can reset your password.

2.9 Window



Under the menu Window you can choose different window options.

2.10 Help



Under the menu Help you find:

- Help Index
- NASDAQ OMX Nordic website
- About Genium INET Clearing Workstation 2

If you have any questions regarding the Clearing Workstation 2, please use following contacts:

General questions	derivatives@nasdaqomx.com	+46 8 405 6880
User related questions	memberservices@nasdaqomx.com	+46 8 405 6660
Technical questions	technicalsupport@nasdaqomx.com	+46 8 405 6750



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